

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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SEP 24 2003
PATENT & TRADEMARK OFFICE
JSC
File Patent Application of:
Shunpei YAMAZAKI et al.
Serial No. 09/437,135
Filed: November 10, 1999
For: SEMICONDUCTOR DEVICE AND METHOD
FOR FORMING THE SAME

52 / 10-2-03
Examiner: Erik Kielin
Group Art Unit: 2813

INFORMATION DISCLOSURE STATEMENT

Mail Stop DD
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited is enclosed.

The undersigned certifies (with the exception of EP 474289 and U.S. 5,112,764) that either (1) each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in connection with a counterpart foreign application not more than three (3) months prior to the filing of this statement, or (2) no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

Japanese Application Nos. JP-56-111258; JP-63-004624; JP-04-234134 were cited in a counterpart Japanese patent application 2001-127134 on September 2, 2003. In addition, EP474289 and U.S. 5,112,764 are in the same family as JP-04-234134.

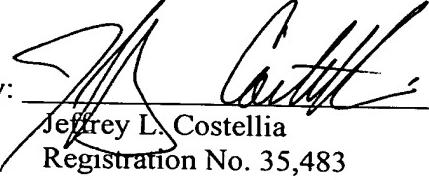
It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

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The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380.

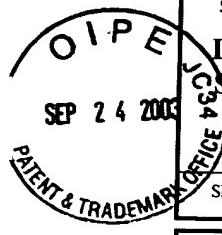
Respectfully submitted,

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

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Complete if Known

Application Number	09/437,135
Filing Date	November 10, 1999
First Named Inventor	Shunpei YAMAZAKI et al.
Art Unit	2813
Examiner Name	Erik J. Kielin
Attorney Docket Number	740756-2064

U.S. PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-5,112,764	05/12/1992	MITRA et al.	
		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ³ (if known)				
		JP-56-111258	09/02/1981	IWAMATSU		FULL
		JP-63-004624	01/09/1988	HAMAZAKI et al.		AB
		JP-04234134	08/21/1992	MITRA et al.		AB
		EP-0 474 289	03/11/1992	MITRA et al.		FULL

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
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¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

²Applicant's unique citation designation number (optional). ³ See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.